

Express Mail No. EV 463355805 US

Patents

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of : Young, Alan et al.  
Serial No. : 09/728,471  
For : **SYSTEM AND METHOD FOR PERFORMING AN  
ELECTRONIC TRANSACTION USING A  
TRANSACTION PROXY WITH AN ELECTRONIC  
WALLET**  
Filed : November 30, 2000  
Examiner : Jaketic, Bryan J.  
Art Unit : 3627

**PETITION UNDER 37 C.F.R. § 1.47(a)**  
**FILING WHEN INVENTOR IS UNAVAILABLE**

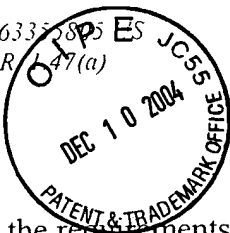
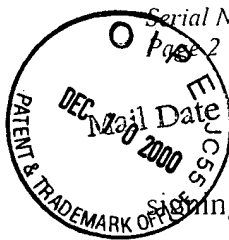
Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The undersigned requests consideration of this Petition on the basis that despite diligent efforts, an executed Declaration Under 37 C.F.R. §1.131 by all the inventors of the present invention is unavailable.

Of the three inventors named in the application, a copy of the executed Declaration Under 37 C.F.R. §1.131 is submitted herewith on behalf of Alan Young. Although several attempts were made to contact Philip G. Chapman and Robert M. Berardy, they were not found or reached after diligent effort. The attached Statement of Facts establishes that Mr. Chapman and Mr. Berardy could not be located and remain unavailable to sign the Declaration Under 37 C.F.R. §1.131.

Express Mail No. E1 46335285  
Petition Under 37 C.F.R. § 1.47(a)  
Serial No. 09/728,471  
Page 2



Pursuant to the requirements of 37 C.F.R. §1.47(a), the last known address of the non-signing inventors is provided below:

Mr. Robert Berardy  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN

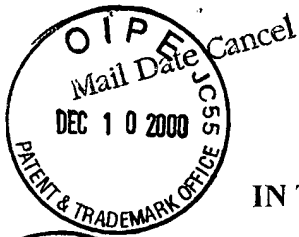
Mr. Philip Chapman  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN

In accordance with the fee requirement of 37 C.F.R. §1.17(g), a check in the amount of \$200.00 is provided herewith. Should any further fees be required for this consideration, please charge them to the Deposit Account 50-1458.

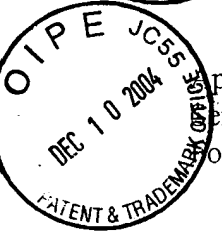
Respectfully submitted,

By: Todd W. Galinski  
Attorney for Applicants  
Reg. No. 51,713

Kilpatrick Stockton LLP  
607 14<sup>th</sup> Street NW, Suite 900  
Washington, DC 20005-2018  
(202) 508-5800



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



Application of : Young, Alan et al.  
Serial No. : 09/728,471  
For : **SYSTEM AND METHOD FOR PERFORMING AN  
ELECTRONIC TRANSACTION USING A  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**DECLARATION PURSUANT TO 37 C.F.R. § 1.131**

Dear Sir,


We, the undersigned, Alan Young, Philip G. Chapman, and Robert M. Berardy, each do hereby declare the following:

1. I am an original and joint inventor of the subject matter disclosed and claimed in the above-identified United States Patent Application.
2. I am over the age of 21 and are competent to make this declaration based on our personal knowledge.
3. During the conception and reduction to practice of the subject matter contained in the above-identified United States Patent Application I was employed by Citibank NA, the current assignee of the above-identified United States Patent Application.
4. This document is submitted as evidence that the subject matter recited in claims 1-69 of the above-identified United States Patent Application was conceived by my co-inventors and myself prior to May 9, 2000 and diligently reduced to practice thereafter.

5. Exhibit A is a copy of an email evidencing communications between one of the inventors, Philip Chapman, and a patent attorney, John Harrington, which took place on May 1, 2000. This email communication took place as part of the discussions relating to the preparation of a provisional application filed on May 18, 2000, and is further evidence of conception of the invention prior to May 9, 2000.

6. I hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated: November 29<sup>th</sup>, 2004.

  
\_\_\_\_\_  
Alan Young

Dated: \_\_\_\_\_

\_\_\_\_\_  
Philip G. Chapman

Dated: \_\_\_\_\_

\_\_\_\_\_  
Robert M. Berardy

## Harrington, John

---

**From:** Harrington, John  
**Sent:** Monday, May 01, 2000 5:54 PM  
**To:** 'philip.chapman@citicorp.com'  
**Cc:** Marcou, George; Holmes, Diana; 'david.schreiber@citicorp.com';  
'tamara.tishberg@citicorp.com'  
**Subject:** I-Mode Wallet (C0464.196869)

Philip, my apologies for omission of the re line in previous email.

Regards,  
John Harrington

-----Original Message-----

**From:** Harrington, John  
**Sent:** Monday, May 01, 2000 5:31 PM  
**To:** 'philip.chapman@citicorp.com'  
**Cc:** Marcou, George; Holmes, Diana; 'david.schreiber@citicorp.com'; 'tamara.tishberg@citicorp.com'  
**Subject:**



P07301\_DOC

Dear Philip:

In follow up of our telephone conversation of April 27, 2000, attached is a draft of a second provisional patent application for the above-identified project based on the oral disclosure taken during the conversation.

As discussed, the attached draft includes the text of the provisional application already filed, plus the additional disclosure commencing at line 26 on page 8, as well as an additional attachment labeled "D" (not attached).

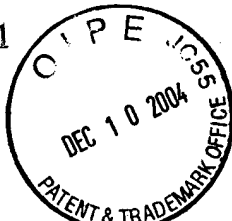
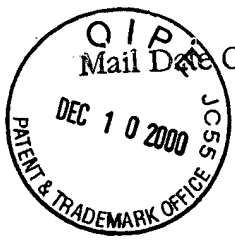
We note your comments regarding the inventorship list and will follow up shortly.

Please review the draft application for technical accuracy and provide us with any suggested changes, preferably in writing and suggesting specific word changes, if possible.

Best regards,

John M. Harrington  
Kilpatrick Stockton LLP

EXHIBIT A



Express Mail No. EV 463355805 US

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of : Young, Alan et al.  
Serial No. : 09/728,471  
For : **SYSTEM AND METHOD FOR PERFORMING AN  
ELECTRONIC TRANSACTION USING A  
TRANSACTION PROXY WITH AN ELECTRONIC  
WALLET**  
Filed : November 30, 2000  
Examiner : Jaketic, Bryan J.  
Art Unit : 3627

**STATEMENT OF FACTS IN SUPPORT OF PETITION  
UNDER 37 C.F.R. § 1.47(a) WHEN INVENTOR IS UNAVAILABLE**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The following Statement of Facts is submitted in support of a petition under 37 CFR 1.47(a).

Multiple attempts to obtain a signed Declaration Under 37 C.F.R. §1.131 from Philip G. Chapman and Robert M. Berardy were made as shown by the attached documents.

Attachment A: March 9, 2001 FedEx receipt from original Declaration sent to Mr. Chapman evidencing his last known address.

Attachment B: March 9, 2001 FedEx receipt from original Declaration sent to Mr. Berardy evidencing his last known address.

Attachment C: October 28, 2004 email from Masako Wada evidencing the fact that Mr. Chapman and Mr. Berardy are no longer employed by the owner of the application, Citibank N.A., and their current whereabouts are unknown.

Attachment D: November 18, 2004 email to Mr. Chapman's last known email address including a copy of the Declaration Under 37 C.F.R. §1.131 for his signature.

Attachment E: November 18, 2004 email automatic reply from the System Administrator at the domain citicorp.com indicating the e-mail address for Mr. Chapman is no longer valid.

Attachment F: November 18, 2004 email to Mr. Berardy's last known email address including a copy of the Declaration Under 37 C.F.R. §1.131 for his signature.

Attachment G: November 18, 2004 email automatic reply from the System Administrator at the domain citicorp.com indicating the e-mail address for Mr. Berardy is no longer valid.

Attachment H: November 18, 2004 letter to Mr. Chapman enclosing the Declaration Under 37 C.F.R. §1.131 for his signature. A response was never received.

Attachment I: November 18, 2004 letter to Mr. Berardy enclosing the Declaration Under 37 C.F.R. §1.131 for his signature. A response was never received.

As evidenced by the above, several attempts were made to contact Mr. Chapman and Mr. Berardy by electronic mail, standard mail, and telephone. There has been no response or success from either Mr. Chapman or Mr. Berardy to any of the attempts to locate them.

Date: 12/10/04

Todd W. Galinski  
Todd W. Galinski (Reg. No. 51,713)

Orig. ID: JPNA  
From: George T. Marcou (202) 508-5800  
KILPATRICK STOCKTON LLP  
700 13TH STREET, NW, SUITE 800

WASHINGTON  
DC 20005 (US)

To: Philip Chapman 01181356425752  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN (JP)

Description  
Documents

Ref: 196869  
Signature: George T. Marcou

TRK # 7909 1788 9004 FORM 0430

1408639 JP

EXPRESS MAIL NO. EV46385580545

SHIPPER'S FEDER ACCOUNT #



NSR Section 30.55(h) FTSR

**FedEx**

IRS/EIN:  
SHIP DATE: 09MAR01  
WEIGHT: 1.0 LBS

Country Mfg.

CUSTOM VALUE: 1.00 USD  
CARRIAGE VALUE: 1.00 USD

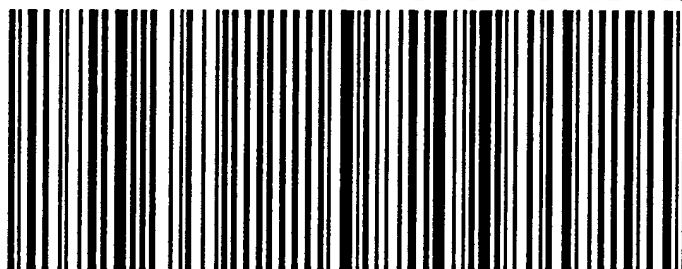
BILL T/C: S 020050101

BILL D/T: S 020050101

INTL ECONOMY

NRT

KX KKXA



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4. To print a receipt of your shipment, please click on "Shipping History."

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EXPRESS MAIL NO. EV4633558054S

Orig. ID: JPNA  
From: George T. Marcou (202) 508-5800  
KILPATRICK STOCKTON LLP  
700 13TH STREET, NW, SUITE 800

WASHINGTON  
DC 20005 (US)

To: Robert Berardy 01181356425752  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN (JP)

Description  
Documents

SHIPPER'S FEDEX ACCOUNT #



NSR Section 30.55(h) FTSR

**FedEx.**

IRS/EIN:  
SHIP DATE: 09MAR01  
WEIGHT: 1.0 LBS

Country Mfg.

CUSTOM VALUE: 1.00 USD  
CARRIAGE VALUE: 1.00 USD

BILL T/C: S 020050101  
BILL D/T: S 020050101

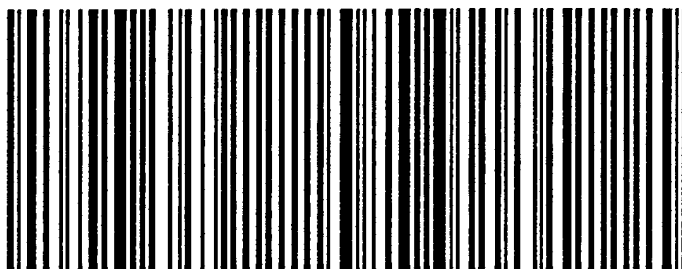
Ref: 196869  
Signature: George T. Marcou

TRK # 7904 9197 3172 FORM 0430

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NRT

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3. Place 2 original labels (Consignee, Manifest/Billing) in the international shipping label pouch and affix it to your shipment so that the barcode portion of the label can be read and scanned.
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**Galinski, Todd**

---

**From:** Wada, Masako [wadam@citigroup.com]  
**Sent:** Thursday, October 28, 2004 1:30 PM  
**To:** Turpie, Linda  
**Cc:** Hogans, Sonya Y.; Harrington, John; Galinski, Todd  
**Subject:** RE: Citibank/I-mode Wallet (C0464/196869) CITI 0207

**Importance:** High

Hi, Linda:

Apologies for the delay in responding to your e-mail. Alan Young's resident address is as attached and his e-mail address is younga@citigroup.com. His office number is 212/559-2314.

Berardy and Chapman left the bank. They do not exist on the Global Directory any longer.

Let me know if you would need further information.

Thank you and regards,

Masako Wada  
 Assistant to David Schreiber  
 212.559.1833  
 wadam@citigroup.com

-----Original Message-----

**From:** Young, Alan  
**Sent:** Thursday, October 28, 2004 12:16 PM  
**To:** Wada, Masako  
**Cc:** Cofresi, Ann  
**Subject:** RE: COULD YOU DO US A FAVOR ?! == Citibank/I-mode Wallet (C0464/196869) CITI 0207

Alan Young  
 63 Garibaldi Lane  
 New Canaan  
 CT 06840

I think that Philip Chapman left the bank. I have no idea what his current address is.  
 Alan

-----Original Message-----

**From:** Turpie, Linda [mailto:LTurpie@KilpatrickStockton.com]  
**Sent:** Thursday, October 28, 2004 1:19 PM  
**To:** wadam@citigroup.com  
**Cc:** hoganss@citigroup.com; Harrington, John; Galinski, Todd  
**Subject:** RE: Citibank/I-mode Wallet (C0464/196869) CITI 0207

Masako,

Just wondering if you have had a chance to look into this. It's rather urgent.

Thanks.

Linda

-----Original Message-----

**From:** Turpie, Linda

Sent: Thursday, October 28, 2004 9:44 AM  
To: 'wadam@citigroup.com'  
Cc: 'hoganss@citigroup.com'; Harrington, John; Galinski, Todd  
Subject: FW: Citibank/I-mode Wallet (C0464/196869) CITI 0207  
Importance: High

Good morning Masako,

Sonya asked if you could look these up in the system since she cannot access it from CA. We also need current home addresses and email addresses to obtain signatures. Many thanks.

Linda

-----Original Message-----

From: Turpie, Linda  
Sent: Thursday, October 28, 2004 9:27 AM  
To: 'hoganss@citigroup.com'  
Cc: Harrington, John; Galinski, Todd  
Subject: FW: Citibank/I-mode Wallet (C0464/196869) CITI 0207  
Importance: High

Sonya, can you please let us know if the following inventors are still with Citibank?

Alan Young (Citibank in NY in 2001)  
Philip Chapman (Citibank in Tokyo in 2001)  
Robert Berardy (also Citibank in Tokyo in 2001)

Many thanks.

Linda

-----Original Message-----

From: Harrington, John  
Sent: Wednesday, October 27, 2004 4:45 PM  
To: Turpie, Linda  
Cc: Galinski, Todd  
Subject: FW: Citibank/I-mode Wallet (C0464/196869) CITI 0207

Linda,

In follow-up of my phone message of 10/27/04, in furtherance of a possible RCE in the above matter, it would be very helpful to us to obtain the inventors' signatures on a declaration to swear behind a reference. The named inventors are Alan Young (Citibank in NY in 2001), Philip Chapman (Citibank in Tokyo in 2001), and Robert Berardy (also Citibank in Tokyo in 2001). Can you please follow up with Sonya to see if they are still available and if so, what their current contact information is. Many thanks.

John H.

**Galinski, Todd**

---

**From:** Galinski, Todd  
**Sent:** Thursday, November 18, 2004 2:24 PM  
**To:** 'philip.chapman@citicorp.com'  
**Subject:** URGENT: Signature Needed for Patent Application



CITIO207 I-Mode  
Wallet 1.131 D...

Dear Mr. Chapman:

I am an attorney responsible for prosecution of the above-referenced patent application for which you are a co-inventor. In conjunction with this application, we need to establish a date of invention prior to May 9, 2000 in order to circumvent a rejection by the patent office. A provisional application leading to the above-referenced utility application was filed on May 18, 2000 and contains the information necessary to overcome the rejection. The attached Declaration states that you conceived the invention contained in that provisional application prior to May 9, 2000, and is supported by evidence of a conversation between one of the inventors (yourself) and a patent attorney (Mr. Harrington).

We would appreciate your signing and dating this Declaration where indicated and returning it to me using the enclosed return label. We are running against a deadline and would appreciate the return document as soon as possible.

Thank you for your assistance with this matter. If you have any questions, please do not hesitate to contact me.

Todd W. Galinski  
Kilpatrick Stockton LLP  
1001 West Fourth Street  
Winston-Salem, NC 27101-2400  
t 336 607 7448  
f 336 734 2654

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**Galinski, Todd**

---

**From:** System Administrator  
**To:** philip.chapman@citicorp.com  
**Sent:** Thursday, November 18, 2004 2:24 PM  
**Subject:** Undeliverable:Returned mail: see transcript for details

Your message did not reach some or all of the intended recipients.

**Subject:** URGENT: Signature Needed for Patent Application  
**Sent:** 11/18/2004 2:24 PM

The following recipient(s) could not be reached:

philip.chapman@citicorp.com on 11/18/2004 2:23 PM

The e-mail account does not exist at the organization this message was sent to. Check the e-mail address, or contact the recipient directly to find out the correct address.

<imbaspam-nj04.iple.x.smb.com #5.1.1 SMTP; 550 5.1.1 <philip.chapman@citicorp.com>... User unknown>

**Galinski, Todd**

---

**From:** Galinski, Todd  
**Sent:** Thursday, November 18, 2004 2:24 PM  
**To:** 'robert.berardy@citicorp.com'  
**Subject:** URGENT: Signature Needed for Patent Application



CITIO207 I-Mode  
Wallet 1.131 D...

Dear Mr. Berardy:

I am an attorney responsible for prosecution of the above-referenced patent application for which you are a co-inventor. In conjunction with this application, we need to establish a date of invention prior to May 9, 2000 in order to circumvent a rejection by the patent office. A provisional application leading to the above-referenced utility application was filed on May 18, 2000 and contains the information necessary to overcome the rejection. The attached Declaration states that you conceived the invention contained in that provisional application prior to May 9, 2000, and is supported by evidence of a conversation between one of the inventors (Mr. Chapman) and a patent attorney (Mr. Harrington).

We would appreciate your signing and dating this Declaration where indicated and returning it to me by facsimile at the number below with follow-up by standard delivery. We are running against a deadline and would appreciate the return document as soon as possible.

Thank you for your assistance with this matter. If you have any questions, please do not hesitate to contact me.

Todd W. Galinski  
Kilpatrick Stockton LLP  
1001 West Fourth Street  
Winston-Salem, NC 27101-2400  
t 336 607 7448  
f 336 734 2654

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**Galinski, Todd**

---

**From:** System Administrator  
**To:** robert.berardy@citicorp.com  
**Sent:** Thursday, November 18, 2004 2:24 PM  
**Subject:** Undeliverable:Returned mail: see transcript for details

Your message did not reach some or all of the intended recipients.


Subject: URGENT: Signature Needed for Patent Application  
Sent: 11/18/2004 2:24 PM

The following recipient(s) could not be reached:

robert.berardy@citicorp.com on 11/18/2004 2:23 PM

The e-mail account does not exist at the organization this message was sent to. Check the e-mail address, or contact the recipient directly to find out the correct address.

<imbaspam-nj04.iplex.smb.com #5.1.1 SMTP; 550 5.1.1 <robert.berardy@citicorp.com>... User unknown>

 **KILPATRICK  
STOCKTON LLP**  
Attorneys at Law

1001 West Fourth St.  
Winston-Salem NC 27101-2400  
t 336 607 7300 f 336 607 7500  
www.KilpatrickStockton.com

November 18, 2004

Todd W. Galinski  
direct dial 336 607 7448  
direct fax 336 734 2654  
TGalinski@KilpatrickStockton.com

Mr. Philip Chapman  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN

*Re: US Patent Application Serial No. 09/728,471*  
*For: System and Method for Performing An Electronic*  
*Transaction Using A Transaction Proxy With*  
*An Electronic Wallet*  
*Filed: November 30, 2000*  
*Our Ref: C0464/196869 (CITI0207)*

Dear Mr. Chapman:

I am an attorney responsible for prosecution of the above-referenced patent application for which you are a co-inventor. In conjunction with this application, we need to establish a date of invention prior to May 9, 2000 in order to circumvent a rejection by the Patent Office. A provisional application leading to the above-referenced utility application was filed on May 18, 2000 and contains the information necessary to overcome the rejection. The attached Declaration states that you conceived the invention contained in that provisional application prior to May 9, 2000, and is supported by evidence of a conversation between one of the inventors (Mr. Chapman) and a patent attorney (Mr. Harrington).

We would appreciate your signing and dating this Declaration where indicated and returning it to me using the enclosed envelope. We are running against a deadline and would appreciate the return document as soon as possible.



Mr. Philip Chapman  
November 18, 2004  
Page 2

Thank you for your assistance with this matter. If you have any questions, please do not hesitate to contact me.

Very truly yours,

A handwritten signature in black ink, appearing to read "Todd W. Galinski", with a stylized flourish at the end.

Todd W. Galinski

TWG/caj  
Enclosures

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of : Young, Alan et al.  
Serial No. : 09/728,471  
For : **SYSTEM AND METHOD FOR PERFORMING AN  
ELECTRONIC TRANSACTION USING A  
TRANSACTION PROXY WITH AN ELECTRONIC  
WALLET**  
Filed : November 30, 2000  
Examiner : Jaketic, Bryan J.  
Art Unit : 3627

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**DECLARATION PURSUANT TO 37 C.F.R. § 1.131**

Dear Sir,

We, the undersigned, Alan Young, Philip G. Chapman, and Robert M. Berardy, each do hereby declare the following:

1. I am an original and joint inventor of the subject matter disclosed and claimed in the above-identified United States Patent Application.
2. I am over the age of 21 and are competent to make this declaration based on our personal knowledge.
3. During the conception and reduction to practice of the subject matter contained in the above-identified United States Patent Application I was employed by Citibank NA, the current assignee of the above-identified United States Patent Application.
4. This document is submitted as evidence that the subject matter recited in claims 1-69 of the above-identified United States Patent Application was conceived by my co-inventors and myself prior to May 9, 2000 and diligently reduced to practice thereafter.

5. Exhibit A is a copy of an email evidencing communications between one of the inventors, Philip Chapman, and a patent attorney, John Harrington, which took place on May 1, 2000. This email communication took place as part of the discussions relating to the preparation of a provisional application filed on May 18, 2000, and is further evidence of conception of the invention prior to May 9, 2000.

6. I hereby declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated: \_\_\_\_\_

\_\_\_\_\_  
Alan Young

Dated: \_\_\_\_\_

\_\_\_\_\_  
Philip G. Chapman

Dated: \_\_\_\_\_

\_\_\_\_\_  
Robert M. Berardy

## Harrington, John

---

**From:** Harrington, John  
**Sent:** Monday, May 01, 2000 5:54 PM  
**To:** 'philip.chapman@citicorp.com'  
**Cc:** Marcou, George; Holmes, Diana; 'david.schreiber@citicorp.com';  
'tamara.tishberg@citicorp.com'  
**Subject:** I-Mode Wallet (C0464.196869)

Philip, my apologies for omission of the re line in previous email.

Regards,  
John Harrington

-----Original Message-----

**From:** Harrington, John  
**Sent:** Monday, May 01, 2000 5:31 PM  
**To:** 'philip.chapman@citicorp.com'  
**Cc:** Marcou, George; Holmes, Diana; 'david.schreiber@citicorp.com'; 'tamara.tishberg@citicorp.com'  
**Subject:**



P07301\_DOC

Dear Philip:

In follow up of our telephone conversation of April 27, 2000, attached is a draft of a second provisional patent application for the above-identified project based on the oral disclosure taken during the conversation.

As discussed, the attached draft includes the text of the provisional application already filed, plus the additional disclosure commencing at line 26 on page 8, as well as an additional attachment labeled "D" (not attached).


We note your comments regarding the inventorship list and will follow up shortly.

Please review the draft application for technical accuracy and provide us with any suggested changes, preferably in writing and suggesting specific word changes, if possible.

Best regards,

John M. Harrington  
Kilpatrick Stockton LLP

EXHIBIT A

 **KILPATRICK  
STOCKTON LLP**  
Attorneys at Law

1001 West Fourth St.  
Winston-Salem NC 27101-2400  
t 336 607 7300 f 336 607 7500  
www.KilpatrickStockton.com

November 18, 2004

Todd W. Galinski  
direct dial 336 607 7448  
direct fax 336 734 2654  
TGalinski@KilpatrickStockton.com

Mr. Robert Berardy  
Citicorp Center, Cyber Bldg.  
2-3-14 Higashi-Shinagawa  
Shinagawa-ku  
Tokyo 1408639 JAPAN

**Re: US Patent Application Serial No. 09/728,471**  
**For: System and Method for Performing An Electronic**  
**Transaction Using A Transaction Proxy With**  
**An Electronic Wallet**  
**Filed: November 30, 2000**  
**Our Ref: C0464/196869 (CITI0207)**

Dear Mr. Berardy:

I am an attorney responsible for prosecution of the above-referenced patent application for which you are a co-inventor. In conjunction with this application, we need to establish a date of invention prior to May 9, 2000 in order to circumvent a rejection by the Patent Office. A provisional application leading to the above-referenced utility application was filed on May 18, 2000 and contains the information necessary to overcome the rejection. The attached Declaration states that you conceived the invention contained in that provisional application prior to May 9, 2000, and is supported by evidence of a conversation between one of the inventors (Mr. Chapman) and a patent attorney (Mr. Harrington).

We would appreciate your signing and dating this Declaration where indicated and returning it to me using the enclosed envelope. We are running against a deadline and would appreciate the return document as soon as possible.

Mr. Robert Berardy  
November 18, 2004  
Page 2

Thank you for your assistance with this matter. If you have any questions, please do not hesitate to contact me.

Very truly yours,

A handwritten signature in black ink, appearing to read "Todd W. Galinski", written in a cursive style.

Todd W. Galinski

TWG/caj  
Enclosures

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of : Young, Alan et al.  
Serial No. : 09/728,471  
For : **SYSTEM AND METHOD FOR PERFORMING AN  
ELECTRONIC TRANSACTION USING A  
TRANSACTION PROXY WITH AN ELECTRONIC  
WALLET**  
Filed : November 30, 2000  
Examiner : Jaketic, Bryan J.  
Art Unit : 3627

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**DECLARATION PURSUANT TO 37 C.F.R. § 1.131**

Dear Sir,

We, the undersigned, Alan Young, Philip G. Chapman, and Robert M. Berardy, each do hereby declare the following:

1. I am an original and joint inventor of the subject matter disclosed and claimed in the above-identified United States Patent Application.
2. I am over the age of 21 and are competent to make this declaration based on our personal knowledge.
3. During the conception and reduction to practice of the subject matter contained in the above-identified United States Patent Application I was employed by Citibank NA, the current assignee of the above-identified United States Patent Application.
4. This document is submitted as evidence that the subject matter recited in claims 1-69 of the above-identified United States Patent Application was conceived by my co-inventors and myself prior to May 9, 2000 and diligently reduced to practice thereafter.

5. Exhibit A is a copy of an email evidencing communications between one of the inventors, Philip Chapman, and a patent attorney, John Harrington, which took place on May 1, 2000. This email communication took place as part of the discussions relating to the preparation of a provisional application filed on May 18, 2000, and is further evidence of conception of the invention prior to May 9, 2000.

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Dated: \_\_\_\_\_

\_\_\_\_\_  
Alan Young

Dated: \_\_\_\_\_

\_\_\_\_\_  
Philip G. Chapman

Dated: \_\_\_\_\_

\_\_\_\_\_  
Robert M. Berardy



Harrington, John

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P07301\_DOC

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John M. Harrington  
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EXHIBIT A